



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 28, 2005

PTAS
BURNS DOANE SWECKER & MATHIS L L P
POST OFFICE BOX 1404
ALEXANDRIA, VA 22313-1404



102802930A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/28/2004

REEL/FRAME: 015617/0156
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

NIKOLICS, KAROLY

DOC DATE: 05/17/2004

ASSIGNEE:

GENENTECH, INC.
1 DNA WAY
SO. SAN FRANCISCO, CALIFORNIA

94080-4990

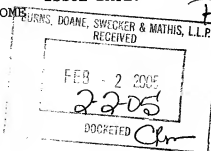
SERIAL NUMBER: 10606745

PATENT NUMBER:

TITLE: IFG-1 TO IMPROVE NEURAL OUTCOME

FILING DATE: 06/27/2003

ISSUE DATE:



015617/0156 PAGE 2

DOROTHY RILEY, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



102802930

Attorney's Docket No. 010057-058

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Karoly Nikolics



2. Name and address of receiving party(ies):

Name: Genentech, Inc.

Internal Address:

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveying:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Street Address:

1 DNA Way

Execution Date: May 17, 2004

City: So. San Francisco State: CA Zip: 940804990

Additional name(s) & addresses attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/606,745

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sharon E. Crane, Ph.D.

Address:

Burns, Doane, Swecker & Mathis, L.L.P.
Customer Number 2 1 8 3 9
P.O. Box 1404
Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: one

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed

☒ Authorized to be charged to deposit account

☐ Credit card. Form PTO-2038 is attached.

8. Deposit account number:

02-4800

(Attach duplicate copy of this page if paying by deposit account.)

DO NOT USE THIS SPACE

9. Statement and Signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

R. Danny Huntington, Reg. No. 27,903

Name of Person Signing

R. Danny Huntington
Signature

July 28, 2004

Date

Total number of pages including cover sheet, attachments, and documents:

4

Mail documents to be recorded with required cover sheet information to:

Director of the United States Patent and Trademark Office / Mail Stop Assignment Recordation Services
P.O. Box 1450 / Alexandria, VA 22313-1450

07/30/2004 DBYRME 00000081 10606745

01 FC:0021

40.00 00

JOINT ASSIGNMENTTHIS ASSIGNMENT, by Karoly Nikolicsresiding at [209 Club Drive, San Carlos, California 94070] - no longer valid624 Lakemead Way, Emerald Hills, California 94062

(hereinafter referred to as "the Assignors"), witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in the application for Letters Patent of the United States, entitled:

IFG-1 To Improve Neural Outcome

- (1) ☐ which is a provisional application
- (a) ☐ bearing Application No. _____, filed on _____;
- (b) ☐ to be filed herewith; or
- (2) ☒ which is a non-provisional application
- (a) ☒ bearing Application No. 10/606,745, filed on June 27, 2003;
- (b) ☐ having an oath or declaration executed on even date herewith prior to filing of application;
- (c) ☐ having an oath or declaration executed on a different date than this Assignment; and

WHEREAS, Genentech, Inc.,a corporation duly organized under and pursuant to the laws of California,and having its principal place of business at 1 DNA Way, South San Francisco, California 94080-4990

(hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behoof and the use and behoof of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made;

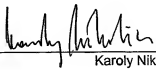
AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

AND the Assignors hereby authorize and request the attorneys of Burns, Doane, Swecker & Mathis, L.L.P. to insert in the spaces provided above the filing date, application number, and attorney docket number of said application when known.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

Date: <u>5/17/2004</u>	Signature of Assignor <u></u> Karoly Nikolics
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____
Date: _____	Signature of Assignor _____



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 28, 2005

PTAS

BURNS, DOANE, SWECKER & MATHIS, L.L.P.
SHARON E. CRANE, PH.D.
P.O. BOX 1404
ALEXANDRIA, VIRGINIA 22313-1404



102802929A

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/28/2004

REEL/FRAME: 015618/0583
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 010057-058

ASSIGNOR:
GLUCKMAN, PETER

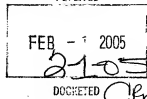
DOC DATE: 05/12/2004

ASSIGNEE:
AUCKLAND UNISERVICES LIMITED
C/-THE UNIVERSITY OF AUCKLAND
PRIVATE BAG 92019
AUCKLAND 1, NEW ZEALAND

SERIAL NUMBER: 10606745
PATENT NUMBER:
TITLE: IFG-1 TO IMPROVE NEURAL OUTCOME

FILING DATE: 06/27/2003
ISSUE DATE:

BURNS, DOANE, SWECKER & MATHIS, L.L.P.
RECEIVED



015618/0583 PAGE 2

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



102802929

Attorney's Docket No. 010057-058

To the Director of the United States Patent and Trademark Office

attached original documents or copy thereof.

1. Name of conveying party(ies):

Peter Gluckman



2. Name and address of receiving party(ies):

Name: Auckland Uniservices Limited

Internal Address:

Street Address:

c/- The University of Auckland
Private Bag 92019
Auckland 1, New Zealand

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: May 12, 2004

City: Auckland State: NZ Zip: 1

Additional name(s) & addresses attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/606,745

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sharon E. Crane, Ph.D.

Address:

Burns, Doane, Swecker & Mathis, L.L.P.
Customer Number 2 1 8 3 9
P.O. Box 1404
Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed
☒ Authorized to be charged to deposit account
☐ Credit card. Form PTO-2038 is attached.

8. Deposit account number:

02-4800

(Attach duplicate copy of this page if paying by deposit account.)

DO NOT USE THIS SPACE

9. Statement and Signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

R. Danny Huntington, Reg. No. 27,903

Name of Person Signing

R. Danny Huntington
Signature

July 28, 2004

Date

Total number of pages including cover sheet, attachments, and documents:

Mail documents to be recorded with required cover sheet information to:

Director of the United States Patent and Trademark Office / Mail Stop Assignment Recordation Services
P.O. Box 1450 / Alexandria, VA 22313-1450

07/30/2004 DBYRNE 00000080 10606745

01 FC:8021

40.00 DP

JOINT ASSIGNMENTTHIS ASSIGNMENT, by Peter Gluckmanresiding at 78 Lucerne Road, Remuera, Auckland, 5, New Zealand

(hereinafter referred to as "the Assignors"), witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in the application for Letters Patent of the United States, entitled:

IFG-1 To Improve Neural Outcome

- (1) ☐ which is a provisional application
- (a) ☐ bearing Application No. _____, filed on _____;
- (b) ☐ to be filed herewith; or
- (2) ☒ which is a non-provisional application
- (a) ☒ bearing Application No. 10/606,745, filed on June 27, 2003;
- (b) ☐ having an oath or declaration executed on even date herewith prior to filing of application;
- (c) ☐ having an oath or declaration executed on a different date than this Assignment; and

WHEREAS, Auckland Uniservices Limited

a corporation duly organized under and pursuant to the laws of New Zealand

and having its principal place of business at c/- The University of Auckland, Private bag 92019, Auckland 1,

New Zealand

(hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behoof and the use and behoof of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made;

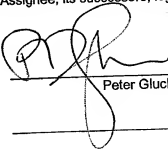
AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

AND the Assignors hereby authorize and request the attorneys of Burns, Doane, Swecker & Mathis, L.L.P. to insert in the spaces provided above the filing date, application number, and attorney docket number of said application when known.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

AND the Assignors hereby request the Director of the United States Patent and Trademark Office to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

Date: 12 May 2008 Signature of Assignor  Peter Gluckman

Date: _____ Signature of Assignor _____

Date: _____ Signature of Assignor _____

Date: _____ Signature of Assignor _____

Date: _____ Signature of Assignor _____

Date: _____ Signature of Assignor _____

Date: _____ Signature of Assignor _____

Date: _____ Signature of Assignor _____

Patent Assignment Abstract of Title

NOTE: Results display only for issued patents and published applications. For pending or abandoned applications please consult USPTO staff.

Total Assignments: 1

Patent #: 5714460 **Issue Dt:** 02/03/1998 **Application #:** 08460365 **Filing Dt:** 06/02/1995

Inventors: PETER GLUCKMAN, KAROLY NIKOLICS

Title: IGF-1 TO IMPROVE NEURAL OUTCOME

Assignment: 1

Reel/Frame: 015612/0905

Recorded: 01/25/2005

Pages: 6

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignor: AUCKLAND UNISERVICES LTD.

Exec Dt: 12/20/2003

Assignee: NEURONZ LTD.

LEVEL 3, 2-6 PARK AVENUE

GRAFTON, AUCKLAND, NEW ZEALAND

Correspondent: FLIESLER MEYER LLP

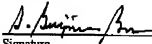
D. BENJAMIN BORSON, PH.D.

FOUR EMBARCADERO CENTER, FOURTH FLOOR

SAN FRANCISCO, CA 94111

Search Results as of: 07/05/2006 09:56 AM

If you have any comments or questions concerning the data displayed, contact OPR / Assignments at 571-272-3350

RECORDATION FORM COVER SHEET PATENTS ONLY		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.		Customer No. 23910
1. Name of conveying party: Auckland UniServices Ltd. Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): Name: <u>NeuronZ Ltd.</u> Address: <u>Level 3, 2-6 Park Avenue</u> <u>Grafton, Auckland</u> <u>New Zealand</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date: <u>December 20, 2003</u>	4. Application numbers or patent numbers: A. Patent Application No(s): <u>Application No.</u> <u>08/656,331</u> <u>09/508,897</u> <u>10/157,542</u> <u>08/907,918</u> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If this document is being filed together with a new application, the execution date of the application is: _____	
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>D. Benjamin Borson, Ph.D.</u> Address: <u>Fliesler Meyer LLP</u> <u>Four Embarcadero Center, Fourth Floor</u> <u>San Francisco, CA 94111</u> Telephone: <u>(415) 362-3800</u>	6. Total Number of applications and patents involved: <u>8</u> X \$40.00 each 7. Total fee (37 CFR 3.41).....\$ <u>320.00</u> <input type="checkbox"/> Check Enclosed 8. Fee Authorization. Authorization is given to charge any additional fees or credit any overpayment to Deposit Account No. 06-1325. <i>Copy. (A duplicate copy of this authorization is not enclosed.)</i>	
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> <div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> <u>D. Benjamin Borson, Ph.D.</u> Attorney (Reg. No.: <u>42-349</u>) </div> <div style="width: 30%; text-align: center;">  Signature </div> <div style="width: 30%; text-align: center;"> <u>January 25, 2004</u> Date </div> </div>		
10. Total number of pages to be recorded: <u>6</u> (1 page cover sheet and <u>5</u> page document).		

**CORPORATE TO CORPORATE
ASSIGNMENT OF PATENTS, APPLICATIONS, AND INVENTIONS**

WHEREAS, Auckland UniServices Ltd. (hereinafter termed "the Assigner"), a New Zealand company having a place of business at a New Zealand company of 70 Symonds Street, Auckland, New Zealand, is the owner of all right title and interest in the following patent applications:

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	PCT/NZ94/00143; WO 95/17204
Attorney Docket No.	NRNZ-1002WO

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	AU 700838
Attorney Docket No.	NRNZ-1002AU

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	NZ 330750
Attorney Docket No.	NRNZ-1002NZ

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	CA 2178711
Attorney Docket No.	NRNZ-1002CA

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	CN 84185037.9

Attorney Docket No.	NRNZ-1002CN
---------------------	-------------

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	EP 85904702.8
Attorney Docket No.	NRNZ-1002EP

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	JP 517338/95
Attorney Docket No.	NRNZ-1002JP

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	08/656,331
Attorney Docket No.	NRNZ-1002US1

Title:	Compositions and methods to improve neural outcome
Inventors:	Gluckman Williams
Application No. & Publication No.:	08/907,918 (continuation of 08/656,331)
Attorney Docket No.	NRNZ-1002US1 C

Title:	Methods to improve neural outcome
Inventors:	Gluckman, Williams, Guan
Application No. & Publication No.:	US 8,187,908 (application number 09/332,808)
Attorney Docket No.	NRNZ-1002US2

Title:	Regulation of Neural Enzymes
Inventors:	Gluckman, Williams Guan
Application No. & Publication No.:	NZ 299611 NZ 299612

	NZ265513
Filing Date:	4 October 1995
Attorney Docket No.	NRNZ-1003L

Title:	Regulation of Neural Enzymes
Inventors:	Gluckman, Williams Guan
Application No. & Publication No.:	PCT/NZ97/00132; WO98/14202
Attorney Docket No.	NRNZ-1003WO

Title:	Regulation of Neural Enzymes
Inventors:	Gluckman, Williams Guan
Application No. & Publication No.:	AU 743412 CA 2287523 EP 97845106.5 JP 916411/98
Attorney Docket No.	NRNZ-1003

Title:	Neuronal Rescue Agent (Activin)
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lal
Application No. & Publication No.:	US 10/187,542; (continuation of 09/508,897)
Filing Date:	May 28, 2002
Attorney Docket No.	NRNZ-1004US1 DBB

Title:	Neuronal Rescue Agent (Activin)
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lal
Application No. & Publication No.:	09/508,897
Filing Date:	March 21, 2000
Attorney Docket No.	1004USD

Title:	Neuronal Rescue Agent (Activin)
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lai
Application No. & Publication No.:	PGT/M298/00139
Attorney Docket No.	1004

Title:	Neuronal Rescue Agent
Inventors:	Peter D. Gluckman, Christopher E. Williams, Dahao Wu, Paul Edmund Hughes, Maggie Lai
Application No. & Publication No.:	AU 735192
Attorney Docket No.	1004

WHEREAS, the Assignor is the joint owner of all right title and interest in the following patent applications:

Title:	IGF-1 to improve neural condition
Inventors:	Gluckman, Williams
Application No. & Publication No.:	US 08/800,273 US 09/460,365 EP 92 917 908.3 CA 2 114 261 <u>Updated status:</u> US 6,714,460; continuation - US 5,861,373 EP 897083 B1
Attorney Docket No.	1030

Title:	TGF-beta to improve neural outcome
Inventors:	Gluckman, Williams
Application No. & Publication No.:	US 08/232,118 US 08/489,448 EP 92 925330.0 CA 2 122 058 JP 508519/1993

	<u>Updated Status:</u> US 6,204,240 B1 EP 625050 B1 JP 509615/1993
Attorney Docket No.	1032

WHEREAS, PATENT PROPERTY shall include each and all of the following:

- (a) the foregoing patent applications and the inventions disclosed therein, and all embodiments of such inventions heretofore assigned to ASSIGNOR (all collectively hereinafter termed "said inventions");
- (b) all rights to apply in any and all countries of the world for patents, certificates of invention or other governmental grants on said inventions, including the right to apply for patents pursuant to the International Convention for the Protection of Industrial Property or pursuant to any other convention, treaty, agreement or understanding;
- (c) any and all applications filed and any and all patents, certificates of invention or other governmental grants granted on said inventions in each and every country, including each and every application filed and each and every patent granted on any application which is a division, substitution, or continuation of any of said applications;
- (d) each and every release or extension of any of said patents;
- (e) each and every patent claim resulting from a reexamination certificate for any and all of said patents, and
- (f) the right to sue for and all claims for damages, profits or other recovery resulting from infringement, including past infringement, of any of the foregoing.

WHEREAS NeuronZ Ltd. (hereinafter termed "Assignee"), a New Zealand company having a place of business at Level 3, 2-5 Park Avenue, Granton, Auckland, Country of New Zealand, is to acquire from ASSIGNOR the entire rights, title and interest in and to said Patent Property.

NOW THEREFORE, for good and valuable consideration acknowledged by said ASSIGNOR to have been received in full from said ASSIGNEE:

1. ASSIGNOR hereby sells, assigns, transfers and otherwise conveys to ASSIGNEE, and ASSIGNEE's successors, legal representatives and assigns, the entire right, title, and interest in and to the PATENT PROPERTY.
2. ASSIGNOR further agrees to execute and cause to be executed such additional instruments as may be necessary or desirable to confirm the transfer of rights as herein contemplated, to record the transfer of rights in the United States and throughout the world, and to permit ASSIGNEE, and ASSIGNEE's successors, legal representatives and assigns to enforce the PATENT PROPERTY.

IN WITNESS WHEREOF, ASSIGNOR has caused this instrument to be executed by its duly authorized corporate officer and delivered to ASSIGNEE this 20th day of December, 2003 in the Country of New Zealand.

Auckland UniServices Ltd.

By: C. Brown

(Signature)

Name: Craig Brown

Title: Chief Financial Officer

TO: ERIN M. DUNSTON COMPANY: BINGHAM MCCUTCHEN LLP

**UNITED STATES PATENT AND TRADEMARK OFFICE**UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

APRIL 04, 2007

PTAS

700318654AERIN M. DUNSTON
BINGHAM MCCUTCHEN LLP
THREE EMBARCADERO CENTER
SAN FRANCISCO, CA 94111-4067***700318654A***UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENTTHE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER
REFERENCED BELOW.PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350.
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,
MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 04/03/2007

REEL/FRAME: 019110/0928

NUMBER OF PAGES: 10

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

NEUREN PHARMECEUTICALS, INC.

DOC DATE: 08/31/2006

ASSIGNEE:

GENENTECH, INC.

1 DNA WAY

SOUTH SAN FRANCISCO, CALIFORNIA

94080-4990

SERIAL NUMBER: 10606745

FILING DATE: 06/27/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: IFG-1 TO IMPROVE NEURAL OUTCOME

TO:ERIN M. DUNSTON COMPANY:BINGHAM MCCUTCHEN LLP

019110/0928 PAGE 2

SHARON BROOKS, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

TO: ERIN M. DUNSTON COMPANY: BINGHAM MCCUTCHEN LLP

04/03/2007 13:18 FAX

001/010

04/03/2007
700318654Form PTO-159 (Rev. 06/05)
Omit box 6051-6057 (rev. 9/30/2000)U.S. Department of COMMERCE
United States Patent and Trademark Office

RECORDATION FORM COVER SHEET

PATENTS ONLY

To the Director of the U.S. Patents and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies):

Neuren Pharmaceuticals, Ltd.
Level 3, 2-6 Park Avenue
Grafton, Auckland
PO Box 9923
Newmarket, Auckland 1031
New ZealandAdditional name of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Genentech, Inc.
1 DNA Way
South San Francisco, California 94080-4990
USAAdditional Name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

Execution Date(s) September 30, 1996 and August 31, 2006

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other

4. Application number(s) or patent number(s):

A. Patent Application No.(s)
U.S.S.N. 10/606,745☐ This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning this document should be mailed:

Name: Erin M. DunstonInternal Address: Bingham McCutchen LLPStreet Address: Three Embarcadero CenterCity: San FranciscoState: CAZip: 94111-4067Phone Number: 202-373-8000Fax Number: 202-373-8001Email Address: erin.dunston@bingham.com6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41)

\$ 40.00

- ☐ Authorized to be charged by credit card
☒ Authorized to be charged to deposit account
☐ Enclosed
☐ None required (government interest not affecting title)

8. Payment information

a. Credit Card Last 4 Numbers _____
Expiration Date _____b. Deposit Account Number 50-2518

Authorized User Name _____

9. Signature:

Erin M. Dunston

Signature

April 3, 2007

Date

Total number of pages including cover sheet, attachments, and documents

10

Name of Person Signing

Documents to be recorded (including cover sheet) should be taken to (877) 275-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, V.A. 22313-1450

CH 2003 FOR IN 10506245

Appendix 4E

Neuren Pharmaceuticals Limited ARBN 111 496 130

Preliminary final report Financial year ended 31 December 2004

The following information is given to the ASX under listing rule 4.3A:

1. Reporting Details

Neuren Pharmaceuticals Limited ARBN 111 496 130 ("Neuren" or the "Company") presents the following information for the year ended 31 December 2004 together with comparative results for the year ended 31 December 2003.

The results for the year ended 31 December 2003 do not include the assets, liabilities and business as a going concern of NeuronZ Limited, which was acquired by Neuren with effect from 1 January 2004. Consequently, the balances for December 2003 reflect the operations of a single business and those for December 2004 reflects the combined operational business as described in Neuren's prospectus dated 15 November 2004 and the supplementary prospectus dated 23 December 2004 (together, the "Prospectus").

All amounts shown are in NZ\$'000s unless otherwise stated.

2. Results for announcement to the market

	Reported 2004 NZ\$'000	Variance to 2003 NZ\$'000	% Change
2.1 Operating Revenue	2,598	(397)	(13%)
2.2 Loss after Tax	(6,169)	(2,297)	(59%)
2.3 Net Loss	(6,169)	(2,297)	(59%)
2.4 Dividends	N/A	N/A	N/A

Operating Revenue

Contract research revenue of \$1,643,000 in 2004 includes contracts with Metabolic Pharmaceuticals Limited [ASX: MBP] and Pfizer Inc. The overall fall in contract revenue in 2004 compared to 2003 of \$1,192,000 is due to the anticipated reduction in contract research with Pfizer Inc. during the year.

Grant income in 2004 of \$945,000 (2003: nil) exceeded the Company's mid year expectations with further awards in the final quarter of 2004 and remains a strong area of focus for the Company.

Loss after Tax and Net Loss

The loss for 2004 includes a non cash charge of \$830,000 (2003: nil) for amortisation of intellectual property acquired in the year and costs associated with the Phase I Glypromate® trial which was successfully completed in December 2004.

Comparison of 2004 with 2003 results

The results for the year ended 31 December 2003 do not include the assets, liabilities and business as a going concern of NeuronZ Limited, which was acquired by Neuren with effect from 1 January 2004. Consequently, the balances for December 2003 reflect the operations of a single business and those for December 2004 reflects the combined operational business as described in Neuren's Prospectus. The pro forma combined loss after tax for the 12 months to 31 December 2003 disclosed within the Pro Forma Financial Information in the Prospectus was \$6,454,000.

3. Statement of Financial Performance

	Notes	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Continuing Activities			
Operating revenue			
Contract research revenues		1,643	2,835
Grants		945	-
Interest income		10	160
Total operating revenue		2,598	2,995
Operating expenses			
Research		6,560	4,724
Finance and administration		2,081	1,638
Dividends on preference shares		126	505
		8,767	6,867
Operating deficit before taxation	3.1	(6,169)	(3,872)
Income tax		-	-
Net deficit		(6,169)	(3,872)
Net deficit per share:			
Basic	3.2	(\$0.15)	(\$1.81)
Diluted	3.2	(\$0.15)	(\$1.57)
Weighted average number of shares outstanding:			
Basic	3.2	40,165,094	2,140,448
Diluted	3.2	40,165,094	2,140,448

3.1 Operating Deficit before Taxation

	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Operating deficit is stated after charging:		
Accounting fees	11	-
Audit fees	74	12
Other fees paid to auditors	6	20
Directors fees	65	45
Preference share dividend	126	505
Amortisation of intangibles	830	-
Profit on disposal of fixed assets	(99)	-
Legal fees	30	38
Rent expense	298	153
 Depreciation		
Scientific equipment	163	63
Computer equipment	65	101
Fixtures and fittings	49	13
Leasehold improvements	8	4
 Total Depreciation	 285	 181

3.2 Net Deficit per Share

	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Basic:		
Unadjusted net deficit	(6,169)	(3,872)
Weighted average shares outstanding	40,165,094	2,140,448
 Net deficit per share	 (\$0.15)	 (\$1.81)
 Diluted:		
Unadjusted net deficit	(6,169)	(3,872)
Add: Preference share dividend	126	505
 Adjusted net deficit	 (6,043)	 (3,367)
Weighted average shares outstanding:	40,165,094	2,140,448
 Net deficit per share	 (\$0.15)	 (\$1.57)

Basic net deficit per share is based upon the weighted average number of outstanding ordinary shares. For the years ended 31 December 2004 and 2003, the Company's potentially dilutive common share equivalents (being the preference shares and options over ordinary shares) have an anti-dilutive effect on net deficit per share and, therefore, have not been included in determining the total weighted average number of ordinary shares outstanding for the purpose of calculating diluted net deficit per share. The effect of the ordinary share split of 1: 2.548153 has been applied to the calculation of the weighted average number of outstanding ordinary shares for all periods presented.

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

4. Statement of Financial Position

	Notes	31 December 2004 NZ\$'000	31 December 2003 NZ\$'000
ASSETS			
Current assets:			
Cash and cash equivalents		343	1,400
Receivable from related parties		697	782
Deferred equity raising costs		880	-
Accounts receivable and other assets		402	270
Convertible note receivable		-	400
Total current assets		2,322	2,852
Non-current assets:			
Property, plant and equipment		72	256
Intangible assets	4.1	11,616	-
Total non current assets		11,688	256
TOTAL ASSETS		14,010	3,108
LIABILITIES AND SHAREHOLDERS' FUNDS			
Current liabilities:			
Accounts payables and accrued liabilities		4,546	1,386
Total current liabilities		4,546	1,386
Non-current liabilities:			
Long-term debt	4.2	-	7,239
Total liabilities		4,546	8,625
SHAREHOLDERS' FUNDS			
Share capital	4.3	21,158	8
Accumulated deficit	8	(11,694)	(5,525)
Total shareholders' funds (deficit)		9,464	(5,517)
TOTAL LIABILITIES AND SHAREHOLDERS' FUNDS		14,010	3,108

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

4.1 Intangible Assets	31 December 2004 NZ\$'000	31 December 2003 NZ\$'000
Intellectual property acquired:		
Cost:		
Patent rights	12,446	-
Less accumulated amortisation:		
Patent rights	(830)	-
Intangible assets, net book value	11,616	-
4.2 Long-term Debt	31 December 2004 NZ\$'000	31 December 2003 NZ\$'000
Series A preference shares issued	-	1,667
Series B preference shares issued	-	4,649
Accrued Series A and B preference share dividend	-	923
	-	7,239
4.3 Share Capital	31 December 2004 000's	31 December 2003 000's
Issued share capital		
<i>Ordinary shares - number of shares</i>		
Balance at beginning of year	840	840
Shares issued to convert preference shares	5,079	-
Shares issued on acquisition of NeuronZ Limited's business	16,277	-
Shares issued during the year	2,332	-
	24,528	840
Shares issued pursuant to a share split on a 1: 2.548153 basis	37,972	-
Ordinary shares issued as at end of year	62,500	840
	31 December 2004 NZ\$'000	31 December 2003 NZ\$'000
Issued share capital		
<i>Ordinary shares - value</i>		
Balance at beginning of year	8	8
Shares issued to convert preference shares	7,365	-
Shares issued for acquisition of NeuronZ Limited's business	11,453	-
Shares issued during the year	2,332	-
Total issued share capital	21,158	8

Appendix 4E
Preliminary final report
Financial year ended 31 December 2004

5. Statement of Cash Flows

	Notes	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Cash flows to operating activities:			
Receipts from customers		1,587	2,989
Receipts from grants		867	-
Interest received		10	160
Net GST received (paid)		117	(386)
Income taxes refunded		150	-
Payments to suppliers		(5,105)	(4,352)
Payments to employees		(1,611)	(1,008)
Net cash used in operating activities		(3,985)	(2,597)
Cash flows from investing activities:			
Investment in a convertible note in NeuronZ Limited		-	(400)
Cash acquired on acquisition of the business of NeuronZ Limited	5.1	116	-
Proceeds from disposal of property, plant & equipment		543	-
Purchase of plant and equipment		(20)	(143)
Net cash used in investing activities		639	(543)
Cash flows from financing activities:			
Proceeds from ordinary share issue		2,332	-
Cash provided from financing activities		2,332	-
Net decrease in cash		(1,014)	(3,140)
Effect of exchange rate changes on cash balances		(43)	-
Cash at the beginning of the year		1,400	4,540
Cash at end of the year		343	1,400
Reconciliation with net deficit:			
Net deficit		(6,169)	(3,872)
Non-cash items requiring adjustment:			
Depreciation		285	181
Amortisation		830	-
Dividend on preference shares		126	505
Foreign exchange loss		43	-
Changes in working capital:			
Accounts receivable		(149)	(478)
Prepaid expenses and other current assets		(913)	199
Work in progress		-	833
Accounts payable and accruals		2,061	35
Items classified as investing activities:			
Profit on disposal of property, plant & equipment		(99)	-
Net cash used in operating activities		(3,985)	(2,597)

5.1 Acquisition of Business

Neuren Pharmaceuticals Limited acquired the following balances through the acquisition of the business of NeuronZ Limited as at 1 January 2004:

	12 months to 31 December 2004 NZ\$'000
Net assets acquired:	
Cash	116
Accounts receivable	16
Other current assets	39
Property, plant and equipment	525
Intellectual property	12,445
Liabilities	(1,688)
Fair value of net assets acquired	11,453
Consideration paid in the form of ordinary shares issued	11,453
Cash impact of acquisition	116

All assets and liabilities acquired have been recognised at their fair value.

Consistent with the bioscience discovery and development nature of the assets, liabilities and business acquired, the intangible asset acquired has been treated as an identifiable intangible asset, being the intellectual property acquired.

The business acquisition has been included within the results for 2004.

6. Dividends

No ordinary share dividend or distribution payments were made in the financial year. The directors do not recommend the payment of any dividends with respect to the financial year.

The dividend on preference shares within the presented results is an accrual for cumulative dividend entitlements in accordance with the terms of the preference shares. The preference shares converted to ordinary shares on a one for one basis on 2 April 2004.

7. Dividend or Distribution Reinvestment Plan

Not applicable.

8. Statement of Retained Earnings

	12 months to 31 December 2004 NZ\$'000	12 months to 31 December 2003 NZ\$'000
Net deficit for the year being total recognised revenues and expenses	(6,169)	(3,872)
Retained earnings at the beginning of the year	(5,525)	(1,653)
Retained earnings at the end of the year	(11,694)	(5,525)

9. Net Tangible Assets per Security

	31 December 2004 NZ\$	31 December 2003 NZ\$
Net tangible assets per security	(\$0.03)	(\$2.58)

10. Control Over Entities

Name of entity	Date of control	Principal activities	Interest held	Domicile
AgVentures Limited	7 October 2003	Dormant	100%	New Zealand
NeuroendocrinZ Limited	10 July 2002	Dormant	100%	New Zealand
Neuren Pharmaceuticals Inc.	20 August 2002	US based office	100%	USA

All subsidiaries have a balance date of 31 December. The subsidiaries have had no material impact on the financial performance or position of the Company.

11. Associates and Joint Venture Entities

Not applicable.

12. Significant Information

The Company successfully completed the Initial Public Offering of 37,500,000 ordinary shares at A\$0.40 each raising A\$15,000,000 in January 2005 and was admitted to the official listing of the ASX on 3 February 2005. Consequently, the net funds raised are not included in the results presented for the financial year to 31 December 2004.

13. Accounting Standards

The financial statements of the Company are prepared in conformity with generally accepted accounting practice and accounting standards in New Zealand.

14. Commentary on the Results

As detailed in note 5.1 above, on 1 January 2004 Neuren Pharmaceuticals Limited assumed all of the significant risks and rewards of ownership of the assets, liabilities and business of NeuronZ Limited. The intellectual property acquired through this acquisition provides a platform of compounds for future development and licensing opportunities.

As stated in the Company's Prospectus, the Company intends entering Phase II trials with Glypromate® by Q3 2005 and commencing a Phase I trial with NNZ-2566 by the end of 2005. Total revenue in excess of NZ\$2.2 million for the full year of 2004 has been achieved.

Earnings per share is presented in note 3.2 above and no ordinary share dividends have been declared in the year.

15. Audit Status

This report is based upon financial statements for the year ended 31 December 2004 which are in the process of being audited. The results for the year ended 31 December 2003 as presented in the report have been audited.

The Company's auditor is PricewaterhouseCoopers, Auckland and no disputes have arisen.